## Docket Number Application Number 10/047,607 01-1034 Applicants INFORMATION DISCLOSURE Andrew Gilbert, Et. al. STATEMENT BY APPLICANT Filing Date Group Art Unit January 14, 2002 3691 U.S. PATENT DOCUMENTS Filing Date Examiner Cite Document Number Date Name of Patentee Class Sub-Class Initials No. 5,546,523 8/13/1996 Gatto 5,806,050 9/8/1998 Shinn et al. 5,970,479 10/19/1999 Shepherd Togher, et al. 1/11/2000 6,014,627 Hauser 6,061,789 5/9/2000 FOREIGN PATENT DOCUMENTS Cite Class Sub-Class Examiner Foreign Patent Document Date Country Translation Initials No. **PCT** WO 01/27836 4/19/2001 EP 1 100 030 5/15/2001 **EPO** 11/28/1990 **EPO** EP 0 399 850 A2 EP 0 407 026 A2 EPO 1/9/1991 EP 0 411 748 A2 2/6/1991 **EPO** EP 0 873 549 B1 8/8/2001 | EPO NON PATENT LITERATURE DOCUMENTS Examiner Cite Author, Title, date, pages, volume, publisher, city and/or country where published Initials No Letter of Albert P. Moras and Exhibits Ia - IVb for "QV Trader" and "Bondpage.com", April 4, 2002, 16 pp. Copy of Office Action mailed July 19, 2006, Application Serial No. 09/853,430, entitled "Systems and Method for Anonymous Electronic Trading", Examiner Olabode Akintola, 12 pp. USPTO Office Action for Application No. 11/562,719, February 12, 2008 (11 pages). Pending U.S. Patent Application Serial No. 11/562,719, entitled "Processing of Orders in a Trading System Once Warning Limits are Exceeded", filed November 22, 2006 in the name of Ginsberg et al. USPTO Office Action for Application No. 11/562,674, February 14, 2008 (14 pages). Pending U.S. Patent Application Serial No. 11/562,674, entitled "Processing of Trades That Exceed Warning Limits", filed November 22, 2006 in the name of Ginsberg et al. USPTO Office Action for Application No. 09/853,430, July 19, 2006 (8 pp). Date Considered Examiner

Signature

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